

Docket No.: C1039.70021US01  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
Serial No.: 10/719,493  
Confirmation No.: 3218  
Filed: November 21, 2003  
For: METHODS OF TREATING CANCER USING  
IMMUNOSTIMULATORY OLIGONUCLEOTIDES  
Examiner: P.K. Tungaturthi  
Art Unit: 1643

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: March 1, 2006

Helen C. Lockhart  
Helen C. Lockhart, Registration No. 39,248

**MAIL STOP AMENDMENT**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**REQUEST TO CORRECT INVENTORSHIP UNDER 37 CFR §1.48**

In accordance with 37 C.F.R. §1.48, Applicants hereby submits a request to correct inventorship of the above-identified pending patent application. Through error and without deceptive intent, Dr. Alfred D. Steinberg and Dr. Dennis Klinman were not named as inventors in the application.

Accordingly, it is requested that Dr. Alfred D. Steinberg and Dr. Dennis Klinman be added as inventors in the above application.

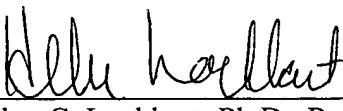
Attached to this request are the following as required by 37 CFR §1.48 (a):

- A verified statement from each of Drs. Alfred D. Steinberg and Dennis Klinman, stating that the error in inventorship occurred without deceptive intention on his part;
- A verified statement from each of Drs. Arthur M. Krieg and George Weiner, stating that they have no disagreement in regard to the requested change;

- A verified statement signed by an official of the Assignee, The University of Iowa Research Foundation, to whom the originally named inventors, Dr. Arthur M. Krieg and Dr. George Weiner, assigned all of their rights, agreeing to the change of inventorship in the pending patent application;

Should any questions remain regarding this request, it is requested that the Examiner contact Applicants' representative, as signed below.

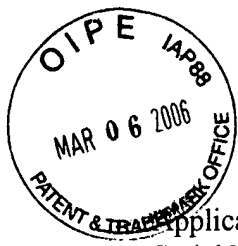
Respectfully submitted,  
*Arthur M. Krieg et al., Applicants*

By:   
Helen C. Lockhart, Ph.D., Reg. No.: 39,248  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2206  
Telephone: (617) 646-8000

Docket No.: C1039.70021US01

Date: March 1, 2006

xNDDx



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Dated: March 1, 2006

  
Helen C. Lockhart, Registration No. 39,248

**MAIL STOP AMENDMENT**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of by The University of Iowa Research Foundation**

**Statement in Support of Correction of Inventorship Under 37 CFR §1.48**

1. I, Brenda L. Akins, am an official of the University of Iowa Research Foundation and have authority to act and sign on behalf of the University of Iowa Research Foundation.

2. The University of Iowa Research Foundation is the sole and exclusive assignee of the rights of Arthur M. Krieg and George Weiner in the above-identified patent application, and as such is the sole owner of this patent application at this time. Assignments evidencing this ownership have been recorded with the United States Patent and Trademark Office on January, 23, 2004, reel and frame 01428/0010 (copy enclosed)

3. I hereby verify that the University of Iowa Research Foundation agrees with the petition to amend inventorship attached hereto. Inventorship was named improperly when the above-identified patent application was filed, but this error was a mistake, and involved no deceptive intent on the part of the University of Iowa Research Foundation.

4. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: February 28, 2006

Signature: Brenda L. Akins

Brenda L. Akins  
Associate Director, UIRF



Docket No.: C1039.70021US01  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
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Dated:

March 1, 2006

Helen C. Lockhart  
Helen C. Lockhart, Registration No. 39,248

**MAIL STOP AMENDMENT**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of by Coley Pharmaceutical Group, Inc.**

**Statement in Support of Correction of Inventorship Under 37 CFR §1.324**

1. I, Robert Bratzler, am President and CEO of Coley Pharmaceutical Group Inc., and have authority to act and sign on behalf of Coley Pharmaceutical Group Inc.
2. Coley Pharmaceutical Group Inc. is the sole and exclusive assignee of the rights of Alfred Steinberg in the above-identified patent application, and as such is a co-owner of this patent application at this time. An assignment evidencing this ownership is enclosed herewith.
3. I hereby verify that Coley Pharmaceutical Group Inc., agrees with the petition to amend inventorship attached hereto. Inventorship was named improperly when the above-identified patent application was filed, but this error was a mistake, and involved no deceptive intent on the part of Coley Pharmaceutical Group Inc.
4. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these

10/719,493

C1039.70021US01

statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_  
Robert Bratzler



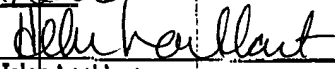
DOCKET NO. C1039.70021US01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
Serial No.: 10/719,493  
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Examiner: P.K. Tungaturthi  
Art Unit: 1643

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to MAIL STOP Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 1 day of March, 2006

  
Helen Lockhart

MAIL STOP PETITIONS  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Verified Statement of by The United States of America as Represented by the Secretary,  
Department of Health and Human Services in Support of Correction of Inventorship

Under 37 CFR §1.324

1. I, Minda Stenovic, am an official of the UNITED STATES OF AMERICA, as represented by the Secretary, Department of Health and Human Services (referred to herein as the Government) and have authority to act and sign on behalf of the Government.

2. The Government is the sole and exclusive assignee of the rights of Dennis Klinman in the above-identified patent application, and as such is a co-owner of this patent application. Assignments evidencing this ownership are enclosed.

3. I hereby verify that the Government agrees with the petition to amend inventorship attached hereto. Inventorship was named improperly when the above-identified patent application was filed, but this error was a mistake, and involved no deceptive intent on the part of the Government.

SENT BY:

2-28- 6 ; 16:29 ;

NIH-

5035955301 :# 3

4. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 28 Feb 2006Signature: 





Docket No.: C1039.70021US01  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
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Dated: March 1, 2006

Helen C. Lockhart  
Helen C. Lockhart, Registration No. 39,248

**MAIL STOP AMENDMENT**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of Dr. Arthur M. Krieg**

I, Arthur M. Krieg, state the following:

1. I am an inventor of the above-identified patent application and I make this declaration that I have no disagreement in regard to the requested change of inventorship.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 2 Feb 2006

Signature: Arthur M. Krieg

Arthur M. Krieg



Docket No.: C1039.70021US01  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
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Dated: March 1, 2006

Helen C. Lockhart  
Helen C. Lockhart, Registration No. 39,248

**MAIL STOP AMENDMENT**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of Dr. Alfred D. Steinberg**

I, Alfred D. Steinberg, state the following:

1. There was an error in not naming myself as an inventor to the above-identified patent application and this error occurred without any deceptive intention on my part.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 2-15-06

Signature: Alfred D. Steinberg  
Alfred D. Steinberg

Docket No.: C1039.70021US01  
(PATENT)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
Serial No.: 10/719,493  
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Dated: March 1, 2006  
Helen C. Lockhart, Registration No. 39,248

## MAIL STOP AMENDMENT

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

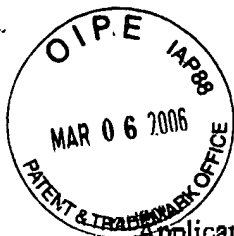
Sir:

Verified Statement of Dr. George Weiner

I, George Weiner, state the following:

1. I am an inventor of the above-identified patent application and I make this declaration that I have no disagreement in regard to the requested change of inventorship.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

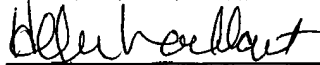
Date: 2/28/06Signature:   
George Weiner

Docket No.: C1039.70021US01  
(PATENT)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arthur M. Krieg et al.  
Serial No.: 10/719,493  
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Dated: March 1, 2006  
Helen C. Lockhart, Registration No. 39,248

## MAIL STOP AMENDMENT

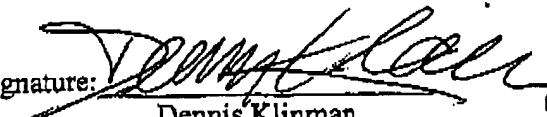
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Verified Statement of Dr. Dennis Klinman

I, Dennis Klinman, state the following:

1. There was an error in not naming myself as an inventor to the above-identified patent application and this error occurred without any deceptive intention on my part.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: Feb 28, 06  
Dennis Klinman



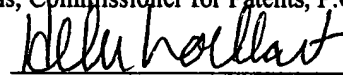
DOCKET NO. C1039.70021US00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No: 6,653,292 B1  
Issue Date: November 25, 2003  
Patentee: Arthur M. Krieg, et al.  
Serial No: 09/337,619  
Confirmation No: 9215  
Filing Date: June 21, 1999  
For: METHOD OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to MAIL STOP Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 1<sup>st</sup> day of March, 2006.

  
Helen C. Lockhart, Ph.D., Reg. No. : 39,248

**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

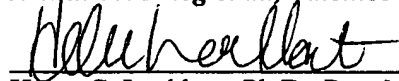
- ☒ Petition To Correct Inventorship Under 37 CFR §1.324
- ☒ Verified Statements of The University of Iowa Research Foundation, Coley Pharmaceutical Group and National Institute of Health (Assignees)
- ☒ Copy of Recorded Assignments
- ☒ Verified Statements of Drs. Steinberg, Klinman, Krieg and Weiner
- ☒ Assignment of Dr. Dennis Klinman recorded herewith
- ☒ Declaration for Patent Application
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 646-8000, Boston, Massachusetts.

Please charge the amount of \$235.00 for Assignment Fee (\$40) and Petition and Declaration fee.(\$195). Please charge any deficiencies that may be necessitated by this filing to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,  
*Arthur M. Krieg et al., Patentee*

By:

  
Helen C. Lockhart, Ph.D., Reg. No.: 39,248  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2206  
Telephone: (617) 646-8000

Docket No.: C1039.70021US00

Date: March 1, 2006

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
Issue Date: November 25, 2003  
Patentee: Arthur M. Krieg, et al.  
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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

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Helen C. Lockhart, Ph.D., Reg. No. : 39,248

---

**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**PETITION TO CORRECT INVENTORSHIP UNDER 37 CFR §1.324**

In accordance with 37 C.F.R. §1.324, Applicants hereby petition to correct inventorship of the above-identified issued patent. Through error and without deceptive intent, Dr. Alfred D. Steinberg and Dr. Dennis Klinman were not named as inventors in the application.

Accordingly, it is requested that Dr. Alfred D. Steinberg and Dr. Dennis Klinman be added as inventors in the above application.

Attached to this Petition are the following as required by 37 CFR §1.324 (a):

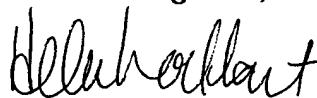
- A verified statement from each of Drs. Alfred D. Steinberg and Dennis Klinman, stating that the error in inventorship occurred without deceptive intention on his part;
- A verified statement from each of Drs. Arthur M. Krieg and George Weiner, stating that they have no disagreement in regard to the requested change;

- A verified statement signed by an official of the Assignee, The University of Iowa Research Foundation, to whom the originally named inventors, Dr. Arthur M. Krieg and Dr. George Weiner, assigned all of their rights, agreeing to the change of inventorship in the patent.

Should any questions remain regarding this petition, it is requested that the Examiner contact Applicants' representative, as signed below.

Respectfully submitted,  
*Arthur M. Krieg et al., Patentee*

By:



Helen C. Lockhart, Ph.D., Reg. No.: 39,248  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, Massachusetts 02210-2206  
Telephone: (617) 646-8000

Docket No.: C1039.70021US00

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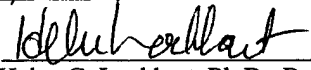
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Issue Date: November 25, 2003  
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Helen C. Lockhart, Ph.D., Reg. No. : 39,248

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**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of by The University of Iowa Research Foundation**

**Statement in Support of Correction of Inventorship Under 37 CFR §1.324**

1. I, Brenda L. Aking am an official of the University of Iowa Research Foundation and have authority to act and sign on behalf of the University of Iowa Research Foundation.
2. The University of Iowa Research Foundation is the sole and exclusive assignee of the rights of Arthur M. Krieg and George Weiner in the above-identified patent application, and as such is the sole owner of this patent application at this time. Assignments evidencing this ownership have been recorded with the United States Patent and Trademark Office on September 8, 1999, reel and frame 010219/0523 and July 27, 2000, reel and frame 011011/0785 (copies enclosed)
3. I hereby verify that the University of Iowa Research Foundation agrees with the petition to amend inventorship attached hereto. Inventorship was named improperly when the above-identified patent application was filed, but this error was a mistake, and involved no deceptive intent on the part of the University of Iowa Research Foundation.



4. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: February 28, 2006

Signature: Brenda L. Akins  
Brenda L. Akins  
Associate Director, UIRF

DOCKET NO. C1039.70021US00

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
Issue Date: November 25, 2003  
Patentee: Arthur M. Krieg, et al.  
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*Debra Herlihy*

## MAIL STOP PETITIONS

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Verified Statement of by The United States of America as Represented by the Secretary,  
Department of Health and Human Services in Support of Correction of Inventorship

Under 37 CFR §1.324

1. Michelle I. Solomonides, am an official of the UNITED STATES OF AMERICA, as represented by the Secretary, Department of Health and Human Services (referred to herein as the Government) and have authority to act and sign on behalf of the Government.

2. The Government is the sole and exclusive assignee of the rights of Dennis Klinman in the above-identified patent, and as such is a co-owner of this patent. Assignments evidencing this ownership are enclosed.

3. I hereby verify that the Government agrees with the petition to amend Inventorship attached hereto. Inventorship was named improperly when the above-identified patent application was filed, but this error was a mistake, and involved no deceptive intent on the part of the Government.

4. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 28 Feb 2006

Signature: 

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
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Helen C. Lockhart, Ph.D., Reg. No. : 39,248

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**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

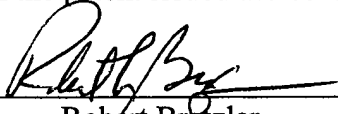
**Verified Statement of by Coley Pharmaceutical Group, Inc.**

**Statement in Support of Correction of Inventorship Under 37 CFR §1.324**

1. I, Robert Bratzler, am President and CEO of Coley Pharmaceutical Group, Inc., and have authority to act and sign on behalf of Coley Pharmaceutical Group, Inc.
2. Coley Pharmaceutical Group, Inc. is the sole and exclusive assignee of the rights of Alfred Steinberg in the above-identified patent, and as such is a co-owner of this patent. An assignment evidencing this ownership is enclosed herewith.
3. I hereby verify that Coley Pharmaceutical Group, Inc. agrees with the petition to amend inventorship attached hereto. Inventorship was named improperly when the above-identified patent application was filed, but this error was a mistake, and involved no deceptive intent on the part of Coley Pharmaceutical Group, Inc.

4. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 3 Feb 2006

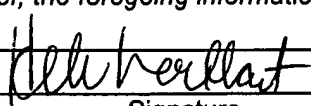
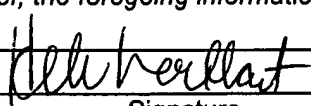
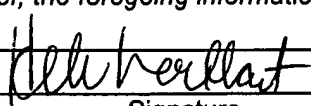
Signature:   
Robert Bratzler

# RECORDATION FORM COVER SHEET PATENTS ONLY

FORM PTO-1595 U.S.  
(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)

DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Commissioner for Patents : Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies): <b>Dennis Klinman</b></p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment                      <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement           <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other _____</p> <p>Execution Date:                      <b>2/28/06</b></p>	<p>2. Name and address of receiving party(ies)</p> <p>Name:                      <b>The United States of America, as represented by the Secretary, Department of Health and Human Services</b></p> <p>Internal Address:    <b>Building 29A, 3D10</b></p> <p>Street Address:      <b>FDA/CBER Bethesda, MD 20892</b></p> <p>Additional name(s) &amp; addresses(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>						
<p>4. Application number(s) or patent number(s):</p> <p>If this document is being filed together with a new application, the execution date of the application is</p> <p>A. Patent Application No.(s)                      B. Patent No.(s)     <b>09/337,619</b>    <b>6,653,292 B1</b></p> <p style="text-align: center;">Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>							
<p>5. Name and address of party to whom correspondence Concerning document should be mailed:</p> <p>Name:    <b>Helen C. Lockhart, Ph.D.</b>  Address: <b>Wolf, Greenfield &amp; Sacks, P.C. 600 Atlantic Avenue Boston, MA 02210-2206</b></p>	<p>6. Total number of applications and patents involved: <b>[ 1 ]</b></p> <p>7. Total fee (37 CFR 3.41)    <b>\$ 40.00</b></p> <p><input type="checkbox"/> Enclosed</p> <p><input checked="" type="checkbox"/> Authorized to be charged to deposit account</p> <p>The Commissioner is authorized to charge any deficiencies in the enclosed payment to:</p> <p>8. Deposit Account No: 23/2825</p>						
<p><b>DO NOT USE THIS SPACE</b></p>							
<p>9. Statement and signature  <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%; padding: 5px;">Helen C. Lockhart, Ph.D.</td> <td style="width: 30%; padding: 5px;"></td> <td style="width: 40%; padding: 5px;">March 1, 2006</td> </tr> <tr> <td style="padding: 5px;">Name of Person Signing</td> <td style="padding: 5px;">Signature</td> <td style="padding: 5px;">Date</td> </tr> </table>		Helen C. Lockhart, Ph.D.		March 1, 2006	Name of Person Signing	Signature	Date
Helen C. Lockhart, Ph.D.		March 1, 2006					
Name of Person Signing	Signature	Date					
<p style="text-align: center;">Total number of pages including cover sheet, attachments, and document: <b>[ 2 ]</b></p>							

ASSIGNMENT

WHEREAS, I, Dennis Klinman, as an employee of the Department of Health and Human Services during which time co-invented "METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES" for which has been made application for Letters Patent of the United States Serial No. 09/337,619 filed June 21, 1999, now issued as US Patent 6,653,292 B1; and

WHEREAS, I am an applicant named in the above-identified application for Letters Patent; and

WHEREAS, the conditions under which said invention was made are such as to entitle THE UNITED STATES OF AMERICA, as represented by the Secretary, Department of Health and Human Services [hereinafter THE GOVERNMENT] under Paragraph 1(a) of Executive Order 10096 to the entire right, title, and interest herein, both domestic and foreign; and

WHEREAS, THE GOVERNMENT is desirous of acquiring all domestic and foreign right, title, and interest in the above-mentioned invention described in the application for Letters Patent; and

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, I hereby assign and transfer to THE GOVERNMENT, represented by the Secretary, Department of Health and Human Services, the full and exclusive rights in and to said invention in the United States and within each and every foreign country in which THE GOVERNMENT elects to file and the entire right, title, and interest in and to such applications, and any continuations, continuations-in-part, divisions, reissues or extensions thereof, and including priority rights as may be filed in the United States and foreign countries, and such Letters Patent as may be granted to be held by THE GOVERNMENT to the end of the term for which the same would have been held by the inventor had this assignment not been made.

I further agree to make, execute, and deliver to the Secretary, Department of Health and Human Services, upon request, any and all papers, documents, affidavits, or other instruments that may be necessary in the prosecution of any application or applications for improvements or reissues of Letters Patent, and to assist THE GOVERNMENT in every way as may be requested in protecting said invention, provided that any expense of extending such assistance shall be paid by THE GOVERNMENT.

IN WITNESS WHEREOF I subscribe my hand and seal on the dates shown below:

Date Feb 29, 06 Dennis Klinman  
Dennis Klinman

County of Prince Georges

State of Maryland

Subscribed and sworn to before me this 28th day of Feb, 2006.  
[Seal]

Ingrid Gillman Harris  
Notary Public INGRID G. HARRIS  
NOTARY PUBLIC STATE OF MARYLAND  
My Commission Expires August 21, 2007

## ASSIGNMENT

In consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the undersigned, Arthur M. Krieg, hereby

Sell, assign and transfer to the University of Iowa Research Foundation, a corporation of Iowa having a place of business at 214 Technology Innovation Center, Oakdale Research Campus, Iowa City, Iowa, 52242, its successors, assigns and legal representatives, all hereinafter referred to as the Assignee, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed on June 21, 1999, assigned serial no. 09/337,619 and entitled **METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES**, and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority.

Agree that said Assignee may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said Assignee, agree to carry out in good faith the intent and purpose of this assignment by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said Assignee all facts known to me relating to said inventions and the history thereof, and generally by doing everything possible which said Assignee shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignee.

Hereby request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said Assignee.

Covenant with said Assignee that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me, and that full right to convey the same as herein expressed is possessed by me.



8/6/99  
Date

Arthur M. Krieg  
Arthur M. Krieg

STATE OF <u>Massachusetts</u> :
COUNTY OF <u>Suffolk</u> :
Subscribed and sworn to before me this <u>6<sup>th</sup></u> day of <u>August</u> 1999.
SEAL
<u>Marianne Flynn</u> Notary Public
My Commission Expires _____

MARIANNE FLYNN  
NOTARY PUBLIC  
My Commission Expires April 16, 2004

ASSIGNMENT

For good and valuable consideration, the sufficiency of which is hereby acknowledged, we, the undersigned, Arthur M. Krieg, 173 Winding River Road, Wellesley, MA 02481, and George Weiner, 235 Kennedy Parkway, Iowa City, Iowa 52246; hereby:

Self, assign and transfer to University of Iowa Research Foundation, an Iowa corporation having a place of business at 214 Technology Innovation Center, Iowa City, Iowa 52242, its successors, assigns and legal representatives, all hereinafter referred to as the Assignee, the entire right, title and interest for the United States and all foreign countries, in and to any and all inventions which are disclosed in the application for United States Letters Patent filed in the United States Patent and Trademark Office, bearing attorney docket number C1039.70021US01, on November 21, 2003 under Serial No. 10/719,493 and entitled **METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES**, and in and to said application and all divisional, continuing, substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said inventions; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said inventions including the right to apply for patent rights in each foreign country and all rights to priority;

Agree that said Assignee may apply for and receive Letters Patent for said inventions in its own name; and when requested, without charge to but at the expense of said Assignee, we agree to carry out in good faith the intent and purpose of this assignment, by executing all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said inventions, by executing all rightful oaths, assignments, powers of attorney and other papers, by communicating to said Assignee all facts known to us relating to said inventions and the history thereof, and generally by doing everything reasonably possible which said Assignee shall consider desirable for aiding in securing and maintaining proper patent protection for said inventions and for vesting title to said inventions and all applications for patents and all patents on said inventions, in said Assignee;

Request the Honorable Commissioner of Patents and Trademarks to issue said Letters Patent to said Assignee; and

Covenant with said Assignee that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by us and that full right to convey the same as herein expressed is possessed by us/me.

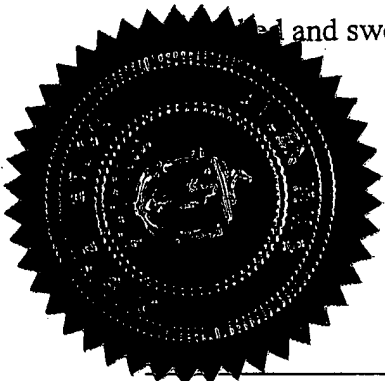
Date January 21, 2004

Arthur M. Krieg  
Arthur M. Krieg

STATE OF Massachusetts :

COUNTY OF Norfolk:

and sworn to before me this 21<sup>ST</sup> day of January 2004.



Ellen Wing

Notary Public

My Commission Expires Feb 13, 2009

Date

George Weiner

STATE OF \_\_\_\_\_:  
COUNTY OF \_\_\_\_\_:

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_.

SEAL

\_\_\_\_\_  
Notary Public

My Commission Expires \_\_\_\_\_

COUNTY OF \_\_\_\_\_:

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_.

SEAL

\_\_\_\_\_  
Notary Public

My Commission Expires \_\_\_\_\_

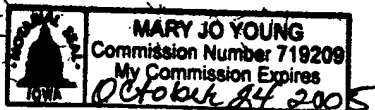
12/23/03  
Date

George Weiner  
George Weiner

STATE OF Iowa :  
COUNTY OF Johnson :

Subscribed and sworn to before me this 23rd day of December.

SEAL



Mary Jo Young

\_\_\_\_\_  
Notary Public

My Commission Expires \_\_\_\_\_



Attorney Docket No. C1039/7021 (HCL/MAT)

### DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

#### METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES

the specification of which is attached hereto unless the following is checked:

☒ was filed on June 21, 1999, as Application No 09/337,619, bearing attorney docket No. C1039/7021, and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or section 365(a) of any PCT International application designating at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed:

Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a),(b):

			Priority Claimed	
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/> YES	<input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

_____ (Application Number)	_____ (filing date)
_____ (Application Number)	_____ (filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT

International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

08/960,774 (Application No.)	10/30/97 (filing date)	pending (status-patented, pending, abandoned)
(Application No.)	(filing date)	(status-patented, pending, abandoned)

PCT International Applications designating the United States:

(PCT Appl. No.) (status-patented,pending,abandoned)	(U.S. Ser. No.)	(PCT filing date)
--	-----------------	-------------------

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Robert M. Abrahamsen	40,886	Jason M. Honeyman	31,624	Stanley Sacks	19,900
John N. Anastasi	37,765	Robert E. Hunt	39,231	Christopher S. Schultz	37,929
Gary S. Engelson	35,128	Ronald J. Kransdorf	20,004	Alan B. Sheir	42,147
Neil P. Ferraro	39,188	Peter C. Lando	34,654	Robert A. Skrivaneck, Jr.	41,316
Thomas G. Field	45,596	Helen C. Lockhart	39,248	Paul D. Sorkin	39,039
Stephen R. Finch	42,534	Matthew B. Lowrie	38,228	Alan W. Steele	45,128
Edward R. Gates	31,616	William R. McClellan	29,409	Mark Steinberg	40,828
Richard F. Giunta	36,149	Daniel P. McLoughlin	46,066	Joseph Teja, Jr.	45,157
Peter J. Gordon	35,164	James H. Morris	34,681	John R. Van Amsterdam	40,212
John C. Gorecki	38,471	M. Lawrence Oliverio	30,915	Michael G. Verga	39,410
William G. Gosz	27,787	Timothy J. Oyer	36,628	Robert H. Walat	46,324
Lawrence M. Green	29,384	Edward F. Perlman	28,105	Lisa E. Winsor	44,405
George L. Greenfield	17,756	Michael J. Pomianek	46,190	David Wolf	17,528
James M. Hanifin, Jr.	39,213	Elizabeth R. Plumer	36,637	Douglas R. Wolf	36,971
Therese A. Hendricks	30,389	Randy J. Pritzker	35,986	Ivan D. Zitkovsky	37,482
Steven J. Henry	27,900	Robert E. Rigby, Jr.	36,904	Edward J. Russavage	43,069

Address all telephone calls to Helen C. Lockhart at telephone no. (617) 720-3500. Address all correspondence to:

Helen C. Lockhart  
c/o Wolf, Greenfield & Sacks, P.C.,  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210-2211

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's signature

Date

Full name of first or joint inventor:

Arthur M. Krieg

Citizenship:

US

Residence:

890 Park Place, Iowa City, IA  
52246

Post Office Address:

same as above

Inventor's signature

7-1-00  
Date

Full name of second joint inventor:

George Weiner

Citizenship:

US

Residence:

235 Kennedy Parkway  
Iowa City, IA 52246

Post Office Address:

same as above

**DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe the named inventor(s) to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY  
OLIGONUCLEOTIDES**

the specification of which:

☐ is attached hereto;

☒ was filed on June 21, 1999, as United States Application No. 09/337,619, Confirmation No. 9215, bearing Docket No. C1039.70021US00, now issued U.S. Patent 6,653,292B1.

I hereby state that I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or 35 U.S.C. §365(c) of any PCT International application(s) designating the United States of America listed below. I acknowledge the duty to disclose material information as defined in 37 C.F.R. §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

**U.S. Non-Provisional Application(s)**

<u>08/960,774</u> (Application No.)	<u>10/30/97</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/738,652</u> (Application No.)	<u>10/30/96</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/386,063</u> (Application No.)	<u>02/07/95</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/276,358</u> (Application No.)	<u>07/15/94</u> (filing date)	<u>Abandoned</u> (status-patented, pending, abandoned)

☒ *Direct all correspondence to the address  
associated with Wolf, Greenfield & Sacks, P.C.'s* **23628**  
*Customer Number*

Address all telephone calls to Helen C. Lockhart, Ph.D. at telephone no. (617) 646-8000.



I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

*Aut M/S 2 Feb 2006*

---

**Inventor's signature**

**Date**

Full name of first or joint inventor: Arthur M. Krieg  
Citizenship: United States  
Residence: 173 Winding River Road, Wellesley,  
MA 02482  
Mailing Address: 173 Winding River Road, Wellesley,  
MA 02482

---

**Inventor's signature**

**Date**

Full name of second joint inventor: George Weiner  
Citizenship: United States  
Residence: 235 Kennedy Parkway, Iowa City, IA  
52246  
Mailing Address: 235 Kennedy Parkway, Iowa City, IA  
52246

---

**Inventor's signature**

**Date**

Full name of third joint inventor: Alfred D. Steinberg  
Citizenship: United States  
Residence: 8814 Bells Mill Road, Potomac, MD  
20854  
Mailing Address: 8814 Bells Mill Road, Potomac, MD  
20854

---

**Inventor's signature**

**Date**

Full name of fourth joint inventor: Dennis Klinman  
Citizenship: United States  
Residence: 2 Candelight Court, Potomac, MD  
20854  
Mailing Address: 2 Candelight Court, Potomac, MD  
20854

# DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

## METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES

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☒ was filed on June 21, 1999, as Application No 09/337,619, bearing attorney docket No. C1039/7021, and was amended on (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

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Prior Foreign PCT International Application(s) and any priority claims under 35 U.S.C. §§119 and 365(a),(b):

			Priority Claimed	
			<input type="checkbox"/>	<input type="checkbox"/>
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	YES	NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/>	<input type="checkbox"/>
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	YES	NO
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	<input type="checkbox"/>	<input type="checkbox"/>
_____ (Number)	_____ (Country-if PCT, so indicate)	_____ (DD/MM/YY Filed)	YES	NO

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below:

_____ (Application Number)	_____ (filing date)
_____ (Application Number)	_____ (filing date)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT

International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

08/960,774	10/30/97	pending
(Application No.)	(filing date)	(status-patented, pending, abandoned)
(Application No.)	(filing date)	(status-patented, pending, abandoned)

PCT International Applications designating the United States:

(PCT Appl. No.)	(U.S. Ser. No.)	(PCT filing date)
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I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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Gary S. Engelson	35,128	Ronald J. Kransdorf	20,004	Alan B. Sherr	42,147
Neil P. Ferraro	39,188	Peter C. Lando	34,654	Robert A. Skrivanek, Jr.	41,316
Thomas G. Field	45,596	Helen C. Lockhart	39,248	Paul D. Sorkin	39,039
Stephen R. Finch	42,534	Matthew B. Lowrie	38,228	Alan W. Steele	45,128
Edward R. Gates	31,616	William R. McClellan	29,409	Mark Steinberg	40,828
Richard F. Giunta	36,149	Daniel P. McLoughlin	46,066	Joseph Teja, Jr.	45,157
Peter J. Gordon	35,164	James H. Morris	34,681	John R. Van Amsterdam	40,212
John C. Gorecki	38,471	M. Lawrence Oliverio	30,915	Michael G. Verga	39,410
William G. Gosz	27,787	Timothy J. Oyer	36,628	Robert H. Walat	46,324
Lawrence M. Green	29,384	Edward F. Perlman	28,105	Lisa E. Winsor	44,405
George L. Greenfield	17,756	Michael J. Pomianek	46,190	David Wolf	17,528
James M. Hanifin, Jr.	39,213	Elizabeth R. Plumer	36,637	Douglas R. Wolf	36,971
Therese A. Hendricks	30,389	Randy J. Pritzker	35,986	Ivan D. Zitkovsky	37,482
Steven J. Henry	27,900	Robert E. Rigby, Jr.	36,904	Edward J. Russavage	43,069

Address all telephone calls to Helen C. Lockhart at telephone no. (617) 720-3500. Address all correspondence to:

Helen C. Lockhart  
c/o Wolf, Greenfield & Sacks, P.C.,  
Federal Reserve Plaza  
600 Atlantic Avenue  
Boston, MA 02210-2211

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Inventor's signature**

Full name of first or joint inventor:

Arthur M. Krieg

Citizenship:

US

Residence:

890 Park Place, Iowa City, IA  
52246

Post Office Address:

same as above

Date

**Inventor's signature**

Full name of second joint inventor:

George Weiner

Citizenship:

US

Residence:

235 Kennedy Parkway  
Iowa City, IA 52246

Post Office Address:

same as above

Date

7-1-00

**DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe the named inventor(s) to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY  
OLIGONUCLEOTIDES**

the specification of which:

☐ is attached hereto;

☒ was filed on June 21, 1999, as United States Application No. 09/337,619, Confirmation No. 9215, bearing Docket No. C1039.70021US00, now issued U.S. Patent 6,653,292B1.

I hereby state that I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above.

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U.S. Non-Provisional Application(s)

<u>08/960,774</u> (Application No.)	<u>10/30/97</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/738,652</u> (Application No.)	<u>10/30/96</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/386,063</u> (Application No.)	<u>02/07/95</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/276,358</u> (Application No.)	<u>07/15/94</u> (filing date)	<u>Abandoned</u> (status-patented, pending, abandoned)

☒ *Direct all correspondence to the address  
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Customer Number*

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---

Inventor's signature	Date
Full name of first or joint inventor: Arthur M. Krieg	
Citizenship: United States	
Residence: 173 Winding River Road, Wellesley, MA 02482	
Mailing Address: 173 Winding River Road, Wellesley, MA 02482	

---

Inventor's signature	Date
Full name of second joint inventor: George Weiner	
Citizenship: United States	
Residence: 235 Kennedy Parkway, Iowa City, IA 52246	
Mailing Address: 235 Kennedy Parkway, Iowa City, IA 52246	

---

Inventor's signature	Date
Full name of third joint inventor: Alfred D. Steinberg	
Citizenship: United States	
Residence: 8814 Bells Mill Road, Potomac, MD 20854	
Mailing Address: 8814 Bells Mill Road, Potomac, MD 20854	

---

Inventor's signature	Date
Full name of fourth joint inventor: Dennis Klinman	
Citizenship: United States	
Residence: 2 Candelight Court, Potomac, MD 20854	
Mailing Address: 2 Candelight Court, Potomac, MD 20854	

DOCKET NO.: C1039.70021US00

**DECLARATION FOR PATENT APPLICATION**

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OLIGONUCLEOTIDES**

the specification of which:

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☒ was filed on June 21, 1999, as United States Application No. 09/337,619, Confirmation No. 9215, bearing Docket No. C1039.70021US00, now issued U.S. Patent 6,653,292B1.

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<u>08/386,063</u> (Application No.)	<u>02/07/95</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/276,358</u> (Application No.)	<u>07/15/94</u> (filing date)	<u>Abandoned</u> (status-patented, pending, abandoned)

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Customer Number

23628

Serial No. : C1039.70021US00  
Declaration for Patent Application

Page 2

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Citizenship: United States	
Residence: 173 Winding River Road, Wellesley, MA 02482	
Mailing Address: 173 Winding River Road, Wellesley, MA 02482	

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Inventor's signature	Date
Full name of second joint inventor: George Weiner	
Citizenship: United States	
Residence: 235 Kennedy Parkway, Iowa City, IA 52246	
Mailing Address: 235 Kennedy Parkway, Iowa City, IA 52246	

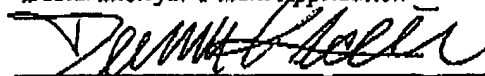
---

Inventor's signature	Date
Full name of third joint inventor: Alfred D. Steinberg	
Citizenship: United States	
Residence: 8814 Bells Mill Road, Potomac, MD 20854	
Mailing Address: 8814 Bells Mill Road, Potomac, MD 20854	



Serial No. : C1039.70021US00  
Declaration for Patent Application

Page 3



2/28/06

Inventor's signature

Date

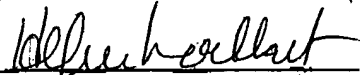
Full name of fourth joint inventor: Dennis Klinman  
Citizenship: United States  
Residence: 2 Candelight Court, Potomac, MD  
20854  
Mailing Address: 2 Candelight Court, Potomac, MD  
20854

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
Issue Date: November 25, 2003  
Patentee: Arthur M. Krieg, et al.  
Serial No: 09/337,619  
Confirmation No: 9215  
Filing Date: June 21, 1999  
For: METHOD OF TREATING CANCER USING  
IMMUNOSTIMULATORY OLIGONUCLEOTIDES

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to MAIL STOP Petitions, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 1<sup>st</sup> day of March 2006

  
Helen C. Lockhart, Ph.D., Reg. No. : 39,248

**MAIL STOP PETITIONS**  
Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of Dr. Dennis Klinman**

I, Dennis Klinman, state the following:

1. There was an error in not naming myself as an inventor to the above-identified patent application and this error occurred without any deceptive intention on my part.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 2/28/06

Signature: 

Dennis Klinman

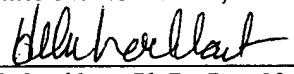
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
Issue Date: November 25, 2003  
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**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

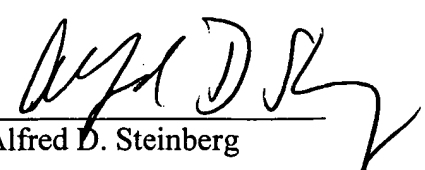
Sir:

**Verified Statement of Dr. Alfred D. Steinberg**

I, Alfred D. Steinberg, state the following:

1. There was an error in not naming myself as an inventor to the above-identified patent application and this error occurred without any deceptive intention on my part.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 2-15-06

Signature: 

Alfred D. Steinberg

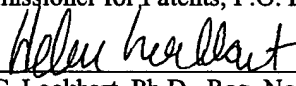
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
Issue Date: November 25, 2003  
Patentee: Arthur M. Krieg, et al.  
Serial No: 09/337,619  
Confirmation No: 9215  
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Helen C. Lockhart, Ph.D., Reg. No. : 39,248

---

**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of Dr. Arthur M. Krieg**

I, Arthur M. Krieg, state the following:

1. I am an inventor of the above-identified issued patent and I make this declaration that I have no disagreement in regard to the requested change of inventorship.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 2 Feb, 2006

Signature:   
Arthur M. Krieg

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent No.: 6,653,292 B1  
Issue Date: November 25, 2003  
Patentee: Arthur M. Krieg, et al.  
Serial No: 09/337,619  
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Helen C. Lockhart  
Helen C. Lockhart, Ph.D., Reg. No. : 39,248

---

**MAIL STOP PETITIONS**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**Verified Statement of Dr. George Weiner**

I, George Weiner, state the following:

1. I am an inventor of the above-identified issued patent and I make this declaration that I have no disagreement in regard to the requested change of inventorship.
2. I hereby declare that all statements herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent issued thereon.

Date: 2/28/06

Signature: 

George Weiner



DOCKET NO.: C1039.70021US01

## DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe the named inventor(s) to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

### METHODS OF TREATING CANCER USING IMMUNOSTIMULATORY OLIGONUCLEOTIDES

the specification of which:

☐ is attached hereto;

☒ was filed on November 21, 2003, as United States Application No. 10/719,493, Confirmation No. 3218, bearing Docket No. C1039.70021US01.

I hereby state that I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above.

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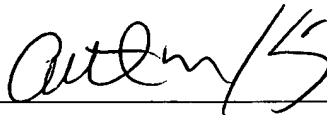
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09/337,619 (Application No.)	06/21/99 (filing date)	Patented (status-patented, pending, abandoned)
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08/386,063 (Application No.)	02/07/95 (filing date)	Patented (status-patented, pending, abandoned)
08/276,358 (Application No.)	07/15/94 (filing date)	Abandoned (status-patented, pending, abandoned)

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Customer Number

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2 feb 2006

---

**Inventor's signature**

**Date**

Full name of first or joint inventor: Arthur M. Krieg  
Citizenship: United States  
Residence: 173 Winding River Road, Wellesley,  
MA 02482  
Mailing Address: 173 Winding River Road, Wellesley,  
MA 02482

---

**Inventor's signature**

**Date**

Full name of second joint inventor: George Weiner  
Citizenship: United States  
Residence: 235 Kennedy Parkway, Iowa City, IA  
52246  
Mailing Address: 235 Kennedy Parkway, Iowa City, IA  
52246

---

**Inventor's signature**

**Date**

Full name of third joint inventor: Alfred D. Steinberg  
Citizenship: United States  
Residence: 8814 Bells Mill Road, Potomac, MD  
20854  
Mailing Address: 8814 Bells Mill Road, Potomac, MD  
20854

---

**Inventor's signature**

**Date**

Full name of fourth joint inventor: Dennis Klinman  
Citizenship: United States  
Residence: 2 Candelight Court, Potomac, MD  
20854  
Mailing Address: 2 Candelight Court, Potomac, MD  
20854





DOCKET NO.: C1039.70021US01

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Serial No. : C1039.7002JUS01  
Declaration for Patent Application

Page 2

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Inventor's signature	Date
Full name of first or joint inventor:	Arthur M. Krieg
Citizenship:	United States
Residence:	173 Winding River Road, Wellesley, MA 02482
Mailing Address:	173 Winding River Road, Wellesley, MA 02482

---

Inventor's signature	Date
Full name of second joint inventor:	George Weiner
Citizenship:	United States
Residence:	235 Kennedy Parkway, Iowa City, IA 52246
Mailing Address:	235 Kennedy Parkway, Iowa City, IA 52246

---

Inventor's signature	Date
Full name of third joint inventor:	Alfred D. Steinberg
Citizenship:	United States
Residence:	8814 Bells Mill Road, Potomac, MD 20854
Mailing Address:	8814 Bells Mill Road, Potomac, MD 20854

Serial No. : C1039.7002JUS01  
Declaration for Patent Application

Page 3

  
Inventor's signature

2/28/06

Date

Full name of fourth joint inventor: Dennis Klinman  
Citizenship: United States  
Residence: 2 Candelight Court, Potomac, MD  
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20854



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<u>08/960,774</u> (Application No.)	<u>10/30/97</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/738,652</u> (Application No.)	<u>10/30/96</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
<u>08/386,063</u> (Application No.)	<u>02/07/95</u> (filing date)	<u>Patented</u> (status-patented, pending, abandoned)
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Customer Number

Address all telephone calls to Helen C. Lockhart, Ph.D. at telephone no. (617) 646-8000.

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Inventor's signature	Date
Full name of first or joint inventor: Arthur M. Krieg	
Citizenship: United States	
Residence: 173 Winding River Road, Wellesley, MA 02482	
Mailing Address: 173 Winding River Road, Wellesley, MA 02482	

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Inventor's signature	Date
Full name of second joint inventor: George Weiner	
Citizenship: United States	
Residence: 235 Kennedy Parkway, Iowa City, IA 52246	
Mailing Address: 235 Kennedy Parkway, Iowa City, IA 52246	

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Inventor's signature	Date
Full name of third joint inventor: Alfred D. Steinberg	
Citizenship: United States	
Residence: 8814 Bells Mill Road, Potomac, MD 20854	
Mailing Address: 8814 Bells Mill Road, Potomac, MD 20854	

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**Inventor's signature**

**Date**

Full name of fourth joint inventor: Dennis Klinman  
Citizenship: United States  
Residence: 2 Candelight Court, Potomac, MD  
20854  
Mailing Address: 2 Candelight Court, Potomac, MD  
20854

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